Exhibit 300 (BY2008)

13. Does this investment support one of the PMA initiatives?

	PART ONE						
	OVERVIEW						
1. Date of Submission:	2006-11-07						
2. Agency:	015						
3. Bureau:	57						
4. Investment Name:	FISCAL MANAGEMENT						
5. UPI:							
6. What kind of investment will i	015-57-01-01-01-3054-00						
Mixed Life Cycle	IIIS DE III F 12000?						
	ar this investment was submitted to OMB?						
FY2004	and investment was submitted to OND:						
	I justification for this investment, including a brief description of how this closes in part or in whole an						
identified agency performance							
GAAP to FedGAAP accounting Management System is a mage decision tools to support the systems and prepares accounting business process for the Fin \$MART application system is \$MART system provides all are several other systems to the systems to th	overnment. This system implementation also completed OCC's transition from commercial ingrules. Its core components include commercial-off-T he-shelf products. The Fiscal lajor application comprising program code and business logic to provide a repository and definancial management of the OCC. The Deputy CFO provides oversight to all financial unting reports to be used internally as well as externally. The \$MART SYSTEM is the core nancial Group and it involves processing of all financial data within the OCC. The current is a mainframe-based, system used by the Financial Management staff. The data from the required financial information to operate and provide effective stewardship to the OCC. There that provide other management and employee related data necessary for the operations within all ensure the continued viability of these critical systems to support the Fiscal management						
9. Did the Agency's Executive/I	nvestment Committee approve this request?						
yes							
9.a. If "yes," what was the date	of this approval?						
2006-08-09							
10. Did the Project Manager rev	view this Exhibit?						
yes							
11. Project Manager Name:							
Rounds, Robert							
Project Manager Phone:							
202-874-5379							
Project Manager Email:							
Robert.Rounds@occ.treas.g	ov						
12. Has the agency developed this project.	and/or promoted cost effective, energy-efficient and environmentally sustainable techniques or practices for						
yes							
12.a. Will this investment include	le electronic assets (including computers)?						
yes							
12.b. Is this investment for new	construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only)						
no							
1							

yes	
If yes, select the initiatives that a	oply:
Financial Performance	
Human Capital	
13 a Briefly describe how this as	set directly supports the identified initiative(s)?
	resident's Management Agenda, components of this investment were reengineered and
realigned with the PMA #1 are automate and enhance the fa	nd #3 "Human Capital" and "Financial Performance". These components will further air presentation of the financial position of the OCC and the results of it's operations and cash ime it takes to process, record, and report financial data and to make this information
14. Does this investment support	a program assessed using OMB's Program Assessment Rating Tool (PART)?
no	
15. Is this investment for information	tion technology (See section 53 for definition)?
yes	
16. What is the level of the IT Pro	oject (per CIO Council's PM Guidance)?
Level 1	
17. What project management qu	ualifications does the Project Manager have? (per CIO Council's PM Guidance)
(1) Project manager has been	n validated as qualified for this investment
18. Is this investment identified a	s high risk on the Q4 - FY 2006 agency high risk report (per OMB's high risk memo)?
yes	
19. Is this a financial managemen	nt system?
yes	
19.a. If yes, does this investment	address a FFMIA compliance area?
yes	
19.a.1. If yes, which compliance a	area:
	tements and other required financial and budget reports * Provide reliable and timely nt for their assets reliably * Consistent with federal accounting standards and the SGL.
19.b. If yes, please identify the sy required by Circular A11 section	vstem name(s) and system acronym(s) as reported in the most recent financial systems inventory update 52.
Management and Accountabi	lity Reporting Tool \$MART
20. What is the percentage break	out for the total FY2008 funding request for the following? (This should total 100%)
Hardware	0
Software	0
Services	100
	nation dissemination products for the public, are these products published to the Internet in conformance and included in your agency inventory, schedules and priorities?
no	
22. Contact information of individ	lual responsible for privacy related questions.
Name	
Andy Boots	
Phone Number	
202-874-5638	
Title	
Information Security Officer	
Email	

Andy.Boots@occ.treas.gov

23. Are the records produced by this investment appropriately scheduled with the National Archives and Records Administration's approval?

yes

SUMMARY OF SPEND

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions, and are rounded to three decimal places. Federal personnel costs should be included only in the row designated Government FTE Cost, and should be excluded from the amounts shown for Planning, Full Acquisition, and Operation/Maintenance. The total estimated annual cost of the investment is the sum of costs for Planning, Full Acquisition, and Operation/Maintenance. For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. The costs associated with the entire life-cycle of the investment should be included in this report.

All amounts represent Budget Authority

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY-1 & Earlier	PY	СҮ
	-2005	2006	2007
Planning Budgetary Resources	0.436	0.000	0.000
Acquisition Budgetary Resources	0.620	0.016	0.000
Maintenance Budgetary Resources	0.147	4.428	0.296
Government FTE Cost	0.000	0.000	0.000
# of FTEs	0	0	0

Note: For the cross-agency investments, this table should include all funding (both managing partner and partner agencies).

Government FTE Costs should not be included as part of the TOTAL represented.

2. Will this project require the agency to hire additional FTE's?

no

3. If the summary of spending has changed from the FY2007 President's budget request, briefly explain those changes.

There are currently no changes to report.

PERFORMANCE

In order to successfully address this area of the exhibit 300, performance goals must be provided for the agency and be linked to the annual performance plan. The investment must discuss the agency's mission and strategic goals, and performance measures must be provided. These goals need to map to the gap in the agency's strategic goals and objectives this investment is designed to fill. They are the internal and external performance benefits this investment is expected to deliver to the agency (e.g., improve efficiency by 60 percent, increase citizen participation by 300 percent a year to achieve an overall citizen participation rate of 75 percent by FY 2xxx, etc.). The goals must be clearly measurable investment outcomes, and if applicable, investment outputs. They do not include the completion date of the module, milestones, or investment, or general goals, such as, significant, better, improved that do not have a quantitative or qualitative measure.

Agencies must use Table 1 below for reporting performance goals and measures for all non-IT investments and for existing IT investments that were initiated prior to FY 2005. The table can be extended to include measures for years beyond FY 2006.

Table 1

	Fiscal Year	Strategic Goal(s) Supported	Performance Measure	Actual/baseline (from Previous Year)	Planned Performance Metric (Target)	Performance Metric Results (Actual)
1	2005	An expert motivated, and	Certify 100% of timecards prior	Internal control weakness that	Certify timecards prior to NFC submission to	

		diverse workforce is maintained in a fair and inclusive work environment	to NFC submission	timecards are not certified prior to NFC submission	address internal control weakness	
2	2005	A Safe and Sound National Banking System	Eliminate 50% of the prior period corrections	Approximately 7000 prior perid corrections per year	Improve data integrity of payroll data	
3	2005	A Safe and Sound National Banking System	have 99% of OCC employees to record their labor allocation bi-weekly	Many staff do not submit a TTRS labor allocation	Improve data integrity of cost accounting data	
4	2005	OCC is an efficient and effective organization	90% of all leave requests to be electronic	Current leave request and approval utilize a paper form and varies across OCC	Streamline the leave request and approval process	
5	2005	OCC resource decisions and operations reflect sound financial, security and risk management principles	All reporting and labor will be retired from the mainframe	TE and TTRS are some of the last systems to reside on the mainframe	Facilitate the retirement of the mainframe	
6	2005	A Safe and Sound National Banking System	Time spent by timekeepers administering work-life programs to be reduced by 33%	Much of the work-life programs is done via cuff records	Improve ease of administration of OCC work-life programs	
7	2006	Preserve the Integrity of Financial Systems: OCC - Effective utilization of OCC resources.	100% of core competencies are performed by Treasury, OCC, Financial Management staff.	100% of Core competencies for \$MART systems operations are currently performed by Contract support staff.	Identified 18 skills that require knowledge transfer from contract support staff. Complete training and transfer of these skills to OCC FM staff during FY06.	
8	2006	Preserve the Integrity of Financial Systems: OCC - Effective utilization of OCC resources.	Develop strategy to identify and address \$MART performance and data quality discrepancies.	Analysis conducted by Independent consulting firm PeopleSoft Consulting determined that \$MART contains several data integrity issues.	Conduct a 224 Pilot that will result in a system generated SF 224 from \$MART with no manual intervention.100% of 224 generated automatically from \$MART.	
9	2007	Preserve the Integrity of Financial Systems: Effective Utilization of Resources	10% reduction in number of data anomalies from baseline and maintain stability of system	An Independent Analysis and Reconciliation identified several data anomalies	10% reduction in number of data anomalies	

All new IT investments initiated for FY 2005 and beyond must use Table 2 and are required to use the FEA Performance Reference Model (PRM). Please use Table 2 and the PRM to identify the performance information pertaining to this major IT investment. Map all Measurement Indicators to the corresponding "Measurement Area" and "Measurement Grouping" identified in the PRM. There should be at least one Measurement Indicator for at least four different Measurement Areas (for each fiscal year). The PRM is available at

www.egov.gov.

Table 2

	Fiscal Year	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Planned Improvement to the Baseline	Actual Results
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EΑ

In order to successfully address this area of the business case and capital asset plan you must ensure the investment is included in the agency's EA and Capital Planning and Investment Control (CPIC) process, and is mapped to and supports the FEA. You must also ensure the business case demonstrates the relationship between the investment and the business, performance, data, services, application, and technology layers of the agency's EA.

1. Is this investment included in your agency's target enterprise architecture?

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2. Is this investment included in the agency's EA Transition Strategy?

nο

2.b. If no, please explain why?

The portfolio of OCC investments has been completely reformulated to allow exact alignment of IT investments, technical solutions, and FISMA certification and reporting. This will not be reflected in the OMB Assessment until the reformulated investments are approved during this cycle.

3. Identify the service components funded by this major IT investment (e.g., knowledge management, content management, customer relationship management, etc.). Provide this information in the format of the following table. For detailed guidance regarding components, please refer to http://www.whitehouse.gov/omb/egov/.

Component: Use existing SRM Components or identify as NEW. A NEW component is one not already identified as a service component in the FEA SRM.

Reused Name and UPI: A reused component is one being funded by another investment, but being used by this investment. Rather than answer yes or no, identify the reused service component funded by the other investment and identify the other investment using the Unique Project Identifier (UPI) code from the OMB Ex 300 or Ex 53 submission.

Internal or External Reuse?: Internal reuse is within an agency. For example, one agency within a department is reusing a service component provided by another agency within the same department. External reuse is one agency within a department reusing a service component provided by another agency in another department. A good example of this is an E-Gov initiative service being reused by multiple organizations across the federal government.

Funding Percentage: Please provide the percentage of the BY requested funding amount used for each service component listed in the table. If external, provide the funding level transferred to another agency to pay for the service.

	Agency Component Name	Agency Component Description	Service Type	Component	Reused Component Name	Reused UPI	Internal or External Reuse?	Funding %
1	\$MART	OCC's PeopleSoft GL provides core accounting services for the bureau	Financial Management	Billing and Accounting			Internal	1
2	\$MART	PeopleSoft AP & PO supports all OCC payable needs	Financial Management	Payment / Settlement			Internal	1
3	\$MART	PeopleSoft GL, Ap track OCC purchase card transactions	Financial Management	Credit / Charge			Internal	1
4	\$MART	PeopleSoft AR	Financial	Debt			Internal	1

		manages all OCC receivables	Management	Collection			
5	\$MART	PeopleSoft reporting supports OCC internal controls	Financial Management	Internal Controls		Internal	1
6	\$MART	PeopleSoft reporting supports OCC FM auditing	Financial Management	Auditing		Internal	1
7	\$MART	PeopleSoft AM tracks OCC capital assets	Asset / Materials Management	Property / Asset Management		Internal	1

^{4.} To demonstrate how this major IT investment aligns with the FEA Technical Reference Model (TRM), please list the Service Areas, Categories, Standards, and Service Specifications supporting this IT investment.

FEA SRM Component: Service Components identified in the previous question should be entered in this column. Please enter multiple rows for FEA SRM Components supported by multiple TRM Service Specifications.

Service Specification: In the Service Specification field, Agencies should provide information on the specified technical standard or vendor product mapped to the FEA TRM Service Standard, including model or version numbers, as appropriate.

	SRM Component	Service Area	Service Category	Service Standard	Service Specification (i.e., vendor and product name)
1	Billing and Accounting	Service Access and Delivery	Access Channels	Web Browser	Microsoft IE
2	Billing and Accounting	Service Access and Delivery	Delivery Channels	Intranet	OCC-managed Intranet with AT&T telco vendor
3	Billing and Accounting	Service Access and Delivery	Service Requirements	Authentication / Single Sign-on	Microsoft and PeopleSoft Authentication
4	Billing and Accounting	Service Access and Delivery	Service Requirements	Hosting	Internally hosted at OCC data center facility using MS Windows 2000 Advanced Server and HP Proliant servers
5	Billing and Accounting	Service Access and Delivery	Service Requirements	Legislative / Compliance	Section 508
6	Billing and Accounting	Service Access and Delivery	Service Transport	Service Transport	HTTP, IP, TCP
7	Billing and Accounting	Service Access and Delivery	Service Transport	Supporting Network Services	DHCP, LDAP, DNS
8	Billing and Accounting	Service Platform and Infrastructure	Database / Storage	Database	Microsoft SQL Server
9	Billing and Accounting	Service Platform and Infrastructure	Delivery Servers	Application Servers	PeopleSoft
10	Billing and Accounting	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Enterprise Server
11	Billing and Accounting	Service Platform and Infrastructure	Hardware / Infrastructure	Local Area Network (LAN)	Ethernet
12	Billing and	Service Platform	Hardware /	Wide Area Network	Frame Relay, T1, VPN

13	Billing and Accounting	Service Platform and Infrastructure	Software Engineering	Integrated Development Environment	PeopleSoft Development Tools
14	Billing and Accounting	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	PVCS Version Tracking, Remedy Defect Tracking
15	Billing and Accounting	Service Platform and Infrastructure	Support Platforms	Platform Dependent	Microsoft Windows 2000
16	Billing and Accounting	Component Framework	Data Management	Database Connectivity	ODBC
17	Billing and Accounting	Service Interface and Integration	Integration	Middleware	Tuxedo Transaction Processing Monitor
18	Billing and Accounting	Service Platform and Infrastructure	Delivery Servers	Web Servers	BEA Weblogic

5. Will the application leverage existing components and/or applications across the Government (i.e., FirstGov, Pay.Gov, etc)?

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5.a. If yes, please describe.

No. This is the OCC's proprietary financial management system. This system is not for public access, therefore alignment with FirstGov, Pay.Gov is not applicable

6. Does this investment provide the public with access to a government automated information system?

no

PART TWO

RISK

You should perform a risk assessment during the early planning and initial concept phase of the investment's life-cycle, develop a risk-adjusted life-cycle cost estimate and a plan to eliminate, mitigate or manage risk, and be actively managing risk throughout the investment's life-cycle.

Answer the following questions to describe how you are managing investment risks.

1. Does the investment have a Risk Management Plan?

yes

1.a. If yes, what is the date of the plan?

2006-02-08

1.b. Has the Risk Management Plan been significantly changed since last year's submission to OMB?

no

3. Briefly describe how investment risks are reflected in the life cycle cost estimate and investment schedule: (O&M investments do NOT need to answer.)

The cost of all milestones is risks adjusted to reflect consideration of potential negative consequences. All identified alternatives as well as the impact and probability of ocurrence are weighed using are staff's expertise and many years of experience. The various possible outcomes are then measured against the chosen alternative to give us a better idea of the level of risk involved and the severity of any negative consequences.

COST & SCHEDULE

Does the earned value management system meet the criteria in ANSI/EIA Standard 748?

no

2.a. What is the Planned Value (PV)?

1.070

2.b. What is the Earned Value (EV)?

1.070

2.c. What is the actual cost of work performed (AC)?
1.071
What costs are included in the reported Cost/Schedule Performance information?
Contractor and Government
2.e. As of date:
2007-01-23
3. What is the calculated Schedule Performance Index (SPI= EV/PV)?
1
4. What is the schedule variance (SV = EV-PV)?
0.000
5. What is the calculated Cost Performance Index (CPI = EV/AC)?
1
6. What is the cost variance (CV = EV-AC)?
-0.001
7. Is the CV or SV greater than 10%?
no
7.d. What is most current Estimate at Completion?
1.075
8. Have any significant changes been made to the baseline during the past fiscal year?
no